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PATENT



DOCKET 13341US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: PFEIFER, *et al.* Examiner: TRAN, Hien Thi  
Serial No.: 09/985,954 Group Art Unit: 1764  
Filed: November 06, 2001  
For: Exhaust gas treatment unit for the selective catalytic reduction of nitrogen oxides under lean exhaust gas conditions and a process for the treatment of exhaust gases

Customer No.: 23719

Kalow & Springut LLP  
488 Madison Avenue, 19th Floor  
New York, New York 10022

January 9, 2007

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents:

In accordance with 37 C.F.R. §§ 1.56 and 1.97 through 1.98, Applicants wish to make known to the Patent and Trademark Office the reference set forth on the attached form PTO/SB/08A. Applicants do not admit that the reference is "prior art" under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference. Although the aforesaid reference are made known to the Patent and Trademark Office in compliance with Applicants' duty to disclose all information of which they are aware and believe relevant to the examination of the above-identified application, Applicants believe that their invention is patentable.

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**Certificate of Express Mailing Under 37 C.F.R. § 1.10**

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Mark Daly  
(Signature)

Mark Daly  
(Printed Name of Person Signing Certificate)

January 9, 2007  
(Date)



### I. U.S. PATENT DOCUMENTS

| Patent No.                                 | Date Issued      | Title   |
|--|------------------|---|
| US 5,120,695 to<br>BLUMRICH, <i>et al.</i> | June 9, 1992     | Catalyst For Purifying Exhaust Gases From Internal<br>Combustion Engines and Gas Turbines Operated at<br>Above the Stoichiometric Ratio |
| US 6,677,264 B1 to<br>KLEIN, <i>et al.</i> | January 13, 2004 | Catalyst For Cleaning Up the Exhaust Gases of a<br>Diesel Engine  |
| US 7,084,086 to<br>KASAHARA, <i>et al.</i> | August 1, 2006   | Catalyst For Purifying Exhaust Gases  |

### II. FOREIGN PATENT DOCUMENTS

| Publication No.              | Country | Publication Date  |
|------------------------------|---------|-------------------|
| EP 0 896 831 A1              | EPO     | 17 February 1999  |
| JP 09-010556                 | Japan   | 1997              |
| JP 11125110 A JPO Abstract   | Japan   | 11 May 1999       |
| JP 03221147 A JPO Abstract   | Japan   | 30 September 1991 |
| JP 2000157870 A JPO Abstract | Japan   | 13 June 2000      |
| JP 11221466 A JPO Abstract   | Japan   | 17 August 1999    |
| WO 94/25143                  | WIPO    | 10 November 1994  |

Applicant below provides available U.S. and European family members of foreign language references for the convenience of the Examiner.



| English Language Family Members of Foreign Language References |  |
|--|--|
| Foreign Language Reference                                     | English Language Family Member               |
| JP 03-221147   | US 5,120,695                                 |
| JP 2000-157870   | US 6,667,264                                 |
| JP 11-221466   | US 7,084,086                                 |
| WO 94025143  | EP 0 666 099 (cited in IDS of Aug. 23, 2002) |

An English language Derwent Record is provided herewith for the following foreign language references:

JP 11-125110 A - Derwent Record

JP 09-010556 A - Derwent Record

Applicant encloses a Fee Transmittal authorizing a charge of \$180.00 for the filing of this Information Disclosure Statement to Deposit Account No. 11-0171. If any additional fees are deemed due or any overpayment has been made please charge, or credit our Deposit Account No. 11-0171 for such sum.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Tor Smeland".

Tor Smeland  
Registration No.: 43,131  
Attorney for Applicant

Kalow & Springut LLP  
(212) 813-1600

**Complete if Known**

*(Use as many sheets as necessary)*

Sheet

1



3

Application Number

**09/985.954**

Filing Date

November 6, 2001

**First Named Inventor**

PFEIFER, et al.

Art Unit

1764

Examiner Name

**TRAN, Hien Thi**

Attorney Docket Number

UMICORE 0040-US

[illegible]

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                    |                       | EP 0 896 831 A1   | 17-02-1999                     | Man Nutzfahrzeuge                                  |   |                |
|                    |                       | JP 09-010556 A  | 1997                           | Man Nutzfahrzeuge                                  |   |                |
|                    |                       | JP 11125110 A JPO Abstr.  | 11-05-1999                     | Man Nutzfahrzeuge                                  |   |                |
|                    |                       | JP 03221147 A JPO Abstr.  | 30-09-1991                     | Degussa AG   |   |                |
|                    |                       | JP 2000157870 A JPO Abstr.  | 13-06-2000                     | Degussa Huels                                      |   |                |

Examiner  
Signature

Date  
Cons

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08a (09-06)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet **2** of **3****Complete if Known**

|                        |                         |
|------------------------|-------------------------|
| Application Number     | <b>09/985,954</b>       |
| Filing Date            | <b>November 6, 2001</b> |
| First Named Inventor   | <b>PFEIFER, et al.</b>  |
| Art Unit               | <b>1764</b>             |
| Examiner Name          | <b>TRAN, Hien Thi</b>   |
| Attorney Docket Number | <b>UMICORE 0040-US</b>  |

**U. S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
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**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|-----------------------|--------------------------|---|--------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                       |                          | JP 11221466 A JPO Abstr.  | 17-08-1999                     | Nissan Motor Co.                                   |   |                |
|                       |                          | WO 94/25143   | 10-11-1994                     | Nippon Shokubai                                    |   |                |
|                       |                          |   |                                |  |   |                |
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|-----------------------|--------------------|
| Examiner<br>Signature | Date<br>Considered |
|-----------------------|--------------------|

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|------------------------|------------------|
| Application Number     | 09/985,954       |
| Filing Date            | November 6, 2001 |
| First Named Inventor   | PFEIFER, et al.  |
| Art Unit               | 1764             |
| Examiner Name          | TRAN, Hien Thi   |
| Attorney Docket Number | UMICORE 0040-US  |

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|-------|---|----|---|
| Sheet | 3 | of | 3 |
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**NON PATENT LITERATURE DOCUMENTS**

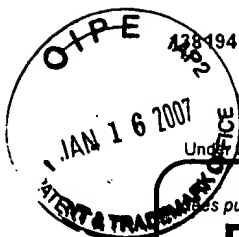
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|-----------------------|--------------------------|---|----------------|
|                       |                          | JP 11-125110 A - Derwent Record   |                |
|                       |                          | JP 09-010556 A - Derwent Record   |                |
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# FEE TRANSMITTAL For FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **180.00**

## Complete if Known

Application Number **09/985,954**  
Filing Date **November 6, 2001**  
First Named Inventor **PFEIFER, et al.**  
Examiner Name **TRAN, Hien Thi**  
Art Unit **1764**  
Attorney Docket No. **UMICORE 0040-US**

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_  
☒ Deposit Account Deposit Account Number: **11-0171** Deposit Account Name: **KALOW & SPRINGUT LLP**  
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)  
☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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## FEE CALCULATION

### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       | Fees Paid (\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) |                |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |                |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |                |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |                |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |                |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |                |

### 2. EXCESS CLAIM FEES

| Fee Description  | Fee (\$)            | Small Entity Fee (\$) |
|--|---------------------|-----------------------|
| Each claim over 20 (including Reissues)                                | 50                  | 25                    |
| Each independent claim over 3 (including Reissues)                     | 200                 | 100                   |
| Multiple dependent claims  | 360                 | 180                   |
| <b>Total Claims</b>  | <b>Extra Claims</b> | <b>Fee (\$)</b>       |
| - 20 or HP = _____ x _____ = _____                                     |                     |                       |
| HP = highest number of total claims paid for, if greater than 20.      |                     |                       |
| <b>Indep. Claims</b>   | <b>Extra Claims</b> | <b>Fee (\$)</b>       |
| - 3 or HP = _____ x _____ = _____                                      |                     |                       |
| HP = highest number of independent claims paid for, if greater than 3. |                     |                       |

### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).


Total Sheets \_\_\_\_\_ Extra Sheets \_\_\_\_\_ Number of each additional 50 or fraction thereof \_\_\_\_\_ Fee (\$) \_\_\_\_\_ Fee Paid (\$) \_\_\_\_\_  
- 100 = \_\_\_\_\_ / 50 = \_\_\_\_\_ (round up to a whole number) x \_\_\_\_\_ = \_\_\_\_\_

### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): **INFORMATION DISCLOSURE STATEMENT** **180.00**

## SUBMITTED BY

Signature  Registration No. **43,131** Telephone **(212)813-1600**  
Name (Print/Type) **Tor SMELAND** Date **January 9, 2007**

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